



Corrie Stokes
City Auditor

Office of the City Auditor

AUDIT PLAN STATUS

Fiscal Year 2017

NEW AUDITS – Requested or Identified as High Risk

	Audit Area	Department(s)	Preliminary Objective	Audit Status
HIGH LEVEL AUDITS				
1	Affordability Outcomes [placeholder]	To Be Determined	Are selected program(s) designed to address affordability meeting their goals?	Options to be discussed at May 2017 Audit and Finance Committee meeting
2	Homelessness Assistance	Health and Human Services, Neighborhood Housing	What are the outcomes of City efforts to address the needs of the homeless population?	In Progress: Planning Phase
3	Bond Spending	Citywide	Have bond funds been spent timely and in alignment with voter approval?	Propose merging with #6 as identified risks relate to project implementation
4	Online Services	Citywide	How many City services are available online and how easy are they to use?	In Progress: Fieldwork Phase
PROCESS AUDITS				
5	Public Information Requests	Law, Citywide	Does the City follow open records laws and provide requested information in an efficient and timely manner?	Planned: 3 rd Qtr. Start
6	Capital Project Delivery	Public Works	Does the City effectively and efficiently coordinate and deliver construction projects that meet identified needs?	In Progress: Fieldwork Phase
7	Fee Waivers	Citywide	How much money is waived each year and how are those decisions made?	In Progress: Planning Phase
8	Wildfire Preparedness	Fire	Does the City have a process to plan for and respond to wildfires?	Propose deferring due to initiatives currently underway
9	Demolition Permits	Development Services	Does the City's process ensure enough consideration of notice and safety issues before demolition approvals are made?	In Progress: Fieldwork Phase
RESOURCE AUDITS				
10	On Call Utilization	Citywide	How many employees receive "on call" pay and how often are they called back to conduct work?	In Progress: Planning Phase
11	Inventory Management Series: Austin Energy	Austin Energy	How does Austin Energy protect and manage its inventory items?	Planned: 3 rd Qtr. Start
INITIATIVES				
12	Audit Recommendations Follow-up [3 Audits]	Multiple	Has City management made timely changes that were agreed to in recent audits?	Completed [1]: 03/2017 In Progress [2]: Planning Phase Planned [3]: 3 rd Qtr. Start

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CARRYOVER AUDITS FROM FISCAL YEAR 2016

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HIGH LEVEL AUDITS				
13	Affordability Review, Phases 1 & 2	Citywide	(1) What are the major expense categories for Austin households in each Council district? (2) What current City initiatives, policies, and programs affect affordability for Austin residents?	Completed: 12/2016 Completed: 03/2017
14	Personnel Investigations (External Review)	Human Resources, Citywide	How can processes and protocols related to investigations throughout the City of alleged discrimination, harassment, and retaliation be improved?	Completed: 03/2017
PROCESS AUDITS				
15	Historic Property Designation Process	Planning and Zoning	How are City historic property designation decisions made and how does it compare to other programs?	Completed: 02/2017
16	Employee Health Claims and Eligibility	Human Resources	How successful have City efforts been to limit unnecessary health costs?	Completed: 11/2016
17	Workforce Development Contracts	Economic Development	How does the City make sure that these contract agreements are being followed and making a difference?	In Progress: Planning Phase
18	Flood Buyout Program	Watershed Protection	Is the City managing flood buyout projects efficiently and cost-effectively?	Completed: 02/2017
19	Street Cut Repairs	Public Works	When a street has been cut open, how quickly does the City fix the problem and how much does it cost?	Completed: 03/2017
20	Fleet: Preventive Maintenance for Light Duty Vehicles	Fleet	Does the City maintain its vehicles on time and how does the cost compare with other maintenance alternatives?	In Progress: Reporting Phase
RESOURCE AUDITS				
21	Access Control Series: Utility Billing System	Austin Energy	How does the City make sure that only authorized people have access to information in the Customer Care and Billing system?	In Progress: Reporting Phase
22	Cash Handling: Parks and Recreation Department	Parks and Recreation	Does the Parks and Recreation Department account for all the cash it receives?	Completed: 03/2017

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